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# **FEE TRANSMITTAL**

## **for FY 2004**

*Effective 10/01/2003. Patent fees are subject to annual revision.*

Applicant claims small entity status. See 37 CFR 1.27.

**TOTAL AMOUNT OF PAYMENT** | **(\\$)** **180**

**Complete if Known**

Application Number	10/086,277
Filing Date	February 28, 2002
First Named Inventor	Sanjay Kaluskar
Examiner Name	2172
Art Unit	Jean H. Corrielus
Attorney Docket No.	264/237

**METHOD OF PAYMENT (check all that apply)**

Check  Credit card  Money Order  Other  None

Deposit Account:

Deposit  
Account  
Number

Deposit  
Account  
Name

**The Director is authorized to: (check all that apply)**

Charge fee(s) indicated below  Credit any overpayments  
 Charge any additional fee(s) during the pendency of this application  
 Charge fee(s) indicated below, except for the filing fee  
to the above-identified deposit account.

**FEE CALCULATION (continued)**

### **3. ADDITIONAL FEES**

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)
1051	130	2051	65
1052	50	2052	25
			Surcharge - late filing fee or oath
			Surcharge - late provisional filing fee or cover sheet.
1053	130	1053	130
1812	2,520	1812	2,520
1804	920*	1804	920*
			Non-English specification
			For filing a request for reexamination
			Requesting publication of SIR prior to Examiner action
1805	1,840*	1805	1,840*
			Requesting publication of SIR after Examiner action
1251	110	2251	55
1252	420	2252	210
			Extension for reply within first month
			Extension for reply within second month
1253	950	2253	475
1254	1,480	2254	740
			Extension for reply within third month
			Extension for reply within fourth month
1255	2,010	2255	1,005
1401	330	2401	165
1402	330	2402	165
1403	290	2403	145
			Notice of Appeal
			Filing a brief in support of an appeal
			Request for oral hearing
1451	1,510	1451	1,510
			Petition to institute a public use proceeding
1452	110	2452	55
1453	1,330	2453	665
1501	1,330	2501	665
			Petition to revive – unavoidable
			Petition to revive – unintentional
			Utility issue fee (or reissue)
1502	480	2502	240
			Design issue fee
1503	640	2503	320
			Plant issue fee
1460	130	1460	130
1807	50	1807	50
			Petitions to the Commissioner
			Processing fee under 37 CFR 1.17 (q)
1806	180	1806	180
			Submission of Information Disclosure Stmt
			Recording each patent assignment per property (times number of properties)
8021	40	8021	40
1809	770	2809	385
1810	770	2810	385
1801	770	2801	385
1802	900	1802	900
			Request for Continued Examination (RCE)
			Request for expedited examination of a design application

*\*\*or number previously paid, if greater: For Reissues, see above*

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$) 180

**SUBMITTED BY**

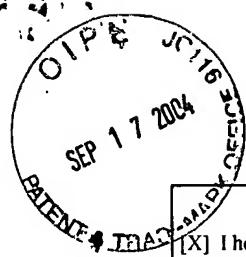
Complete (if applicable)

SUBMITTED BY					
Name (Print/Type)	Janet D. Chance	Registration No. (Attorney/Agent)	55/048	Telephone	(650) 849-4904
Signature				Date	September 15, 2004

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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PATENT  
Docket No. 264/237

CERTIFICATE OF MAILING (37 C.F.R. § 1.8(a))

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date indicated below with sufficient postage as First Class Mail in an envelope addressed to MAIL STOP AMENDMENT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Date of Deposit: September 15, 2004

Signature of Person Certifying:

Printed Name: Nancy L. Hug

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of: ) Group Art Unit: 2172  
Sanjay Kaluskar, et al. )  
Serial No.: 10/086,277 )  
Filed: February 28 2002 )  
For: SYSTEMS AND METHODS FOR )  
SHARING OF EXECUTION PLANS FOR )  
SIMILAR DATABASE STATEMENTS )

INFORMATION DISCLOSURE STATEMENT

MAIL STOP AMENDMENT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In accordance with 37 CFR §§ 1.97 and 1.98, the items identified in this Information Disclosure Statement ("IDS") are brought to the attention of the Office. The items are listed on the attached forms PTO/SB/08a and 08b. Copies of the cited references are enclosed.

The items identified in this IDS may or may not be "material" pursuant to 37 CFR § 1.56. The submission thereof by Applicants is not to be construed as an admission that any such patent, publication or other information referred to therein is material or considered to be material (37 CFR § 1.97(h)), or even qualifies as "prior art" under 35 USC § 102 with respect to this invention unless specifically designated by Applicants as such.

09/20/2004 GWD001 0000016 502518 10086277

01 FC:1806 180.00 DA

**INFORMATION DISCLOSURE STATEMENT FILING PROVISION:**

- This IDS is believed to be timely in that it is being submitted under 37 CFR § 1.97(b), that is (1) within three months of the filing date of the application, which is not a continued prosecution application filed under § 1.53(d) or (2) within three months of entry of the national stage as set forth in 37 CFR § 1.491; or (3) before the mailing of a first Office action on the merits; or (4) before the mailing of a first Office action after filing a request for continued examination under § 1.114. Thus, no fee is required.
- However, if the undersigned is in error in this regard, Applicant respectfully requests that the Office consider this IDS as filed under 37 CFR § 1.97(c), if applicable, and charge the fee due under 37 CFR § 1.17(p) to the deposit account referenced below.
- However, if the undersigned is in error in this regard, Applicant respectfully requests that the Office consider this IDS as filed under 37 CFR § 1.97(c), if applicable, and a statement under 37 CFR § 1.97(e) is included below, thus no fee is required.
- This IDS is being submitted under 37 CFR § 1.97(c), that is after mailing of a first Office Action on the merits, but before a Final Action under 37 CFR § 1.113 or a Notice of Allowance under 37 CFR § 1.311.
  - The fee due under 37 CFR § 1.17(p) is submitted herewith.
  - A statement under 37 CFR § 1.97(e) is included below, thus no fee is required. In the event that this IDS is not received before a Final Action or a Notice of Allowance, then Applicant respectfully requests that the Office consider the filing of these papers to be submitted under 37 CFR § 1.97(d) and charge the fee due under 37 CFR § 1.17(p) to the deposit account below.
- This IDS is being submitted under 37 CFR § 1.97(d), that is after a Final Action under 37 CFR § 1.113 or a Notice of Allowance under 37 CFR § 1.311, but before payment of the issue fee. A statement under 37 CFR § 1.97(e) is included below. The fee due under 37 CFR § 1.17(p) is submitted herewith.
- This IDS is being submitted under 37 CFR § 1.97(i), that is after a Final Action under 37 CFR § 1.113 or a Notice of Allowance under 37 CFR § 1.311, but before payment of the issue fee.

**STATEMENT UNDER 37 CFR § 1.97(e):**

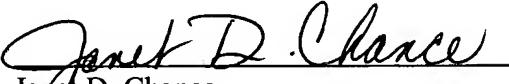
- Each item contained in this IDS was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS.
- No item contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this statement after making reasonable inquiry, no item of information contained in this IDS was known to any individual designated in 37 CFR § 1.56(c) more than three months prior to the filing of this IDS.

**PAYMENT AND/OR AUTHORIZATION TO CHARGE FEES:**

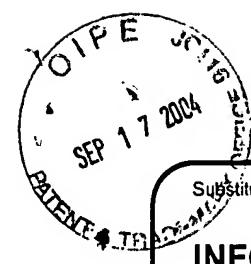
- A check in the amount of \_\_\_\_\_ is enclosed for the above fee(s).
- The Commissioner is authorized to charge the fee due under 37 CFR § 1.17(p) and to credit any overpayment and to charge any underpayment to Bingham McCutchen's Deposit Account No. 50-2518, referencing billing no. 7010992001, for any fees required by the filing of these papers.

Respectfully submitted,

Dated: September 15, 2004

By:   
Janet D. Chance  
Reg. No. 55,048

BINGHAM McCUTCHEN LLP  
Three Embarcadero, Suite 1800  
San Francisco, CA 94111-4067  
Telephone: (650) 849-4400  
Telefax: (650) 849-4800



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Substitute for form 1449A/PTO		Complete if Known	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(Use as many sheets as necessary)</i>		Application Number	10/086,177
		Filing Date	February 28, 2002
		First Named Inventor	Sanjay Kaluskar
		Art Unit	2172
		Examiner Name	Jean H. Corrielus
		Attorney Docket Number	264/237
Sheet	1	of	2

## U.S. PATENT DOCUMENTS

## FOREIGN PATENT DOCUMENTS

Examiner Signature		Date Considered	
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**\*EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Substitute for form 1449B/PTO

INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

2

of

2

## Complete if Known

Application Number	10/086,177
Filing Date	February 28, 2002
First Named Inventor	Sanjay Kaluskar
Art Unit	2172
Examiner Name	Jean H. Corrielus
Attorney Docket Number	264/237

NON PATENT LITERATURE DOCUMENTS		
Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
	2.	BATORY, DON, et al., "The Design and Implementation of Hierarchical Software Systems with Reusable Components," ACM Transactions on Software Engineering and Methodology, (October 1992), pp. 355-398, Vol. 1, No. 4.
	3.	GRAEFE, GOETZ, "Query Evaluation Techniques for Large Databases," ACM Computing Surveys, (June 1993), pp. 73-170, Vol. 25, No. 2.
	4.	HINDMARSH, JON, et al., "Fragmented Interaction: Establishing mutual orientation in virtual environments," Proceedings of the 1998 ACM conference on Computer supported cooperative work, (November 1998), pp. 217-226.
	5.	MICHAEL, MAGED M., "High Performance Dynamic Lock-Free Hash Tables and List-Based Sets," Proceedings of the fourteenth annual ACM symposium on Parallel algorithms and architectures (August 2002), pp. 73-82.
	6.	MICHAEL, MAGED M., "Safe Memory Reclamation for Dynamic Lock-Free Objects Using Atomic Reads and Writes," Proceedings of the twenty-first annual symposium on Principles of distributed computing (July 2002), pp. 21-30.
	7.	RAMDUNY, DEVINA, et al., "Exploring the design space for notification servers," Proceedings of the 1998 ACM conference on Computer supported cooperative work, (1998), pp. 227-236.
	8.	VIERA, HUMBERTO, et al., "XVerter: Querying XML Data with OR-DBMS," Proceedings of the fifth ACM international workshop on Web Information and data management, (November 2003), pp. 37-44.
	9.	ZHU, YALI, et al., "Dynamic Plan Migration for Continuous Queries Over Data Streams," SIGMOD Conference (2004), pp. 431-442.
	10.	Anonymous, "Oracle 8i Designing and Tuning for Performance," Release 2 (8.1.6), (December 1999), Chapter 19, pp. 12-18; <a href="http://download-west.oracle.com/docs/cd/A81042_01DOC/server.816/a76992/ch19_mem.htm">http://download-west.oracle.com/docs/cd/A81042_01DOC/server.816/a76992/ch19_mem.htm</a> and Chapter 127, pp. 26, <a href="http://download-west.oracle.com/docs/cd/A81042_01/DOC/server.816/a76961/ch127.htm">http://download-west.oracle.com/docs/cd/A81042_01/DOC/server.816/a76961/ch127.htm</a> ..

Examiner Signature		Date Considered
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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